



PATENT
245001-2000.2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Gary KATZ and Greg MAYNARD
Application : 10/771,993
Filed : February 3, 2004
For : AUTOMATED EXCHANGE FOR TRADING COMPLEX
ORDERS
Group Art Number : 3622
Examiner : TBA

New York, New York 10151

EXPRESS MAIL

Mailing Label Number: EV 206806197US

Date of Deposit: July 30, 2004

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" Service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, Washington, DC 20231.

Charles Jackson

(Typed or printed name of person mailing paper or fee)

Charles Jackson

(Signature of person mailing paper or fee)

INFORMATION DISCLOSURE STATEMENT

MAIL STOP APPLICATION
Commissioner for Patents
P.O Box 1450
Alexandria, VA 22313-1450

Sir:

The Examiner's attention is invited to the following documents which are set forth in the

accompanying form PTO-1449. This Information Disclosure Statement is not a representation that the cited documents considered most pertinent, or that a search has been undertaken, or that any of the cited documents are indeed prior art. The Examiner is invited to undertake an independent search.

Applicant respectfully requests that the Examiner consider and make of record the cited documents and that a copy of Form PTO-1449, initialed by the Examiner be returned to applicant's attorneys.

It is believed that no fees are required by the instant submission as it is prior to receipt of the first Office Action in this application. However, if any fees are required, or if any overpayment has been made, please charge Deposit Acct. No. 50-0320.

Respectfully submitted,

FROMMER LAWRENCE & HAUG LLP
Attorney for Applicants

By: 

Stephen J. Lieb
Reg. No. 41,943
(212) 588-0800

Enc. - Form PTO 1449

Based on Form PTO-1449
(3/90)



LIST OF REFERENCES CITED BY APPLICANT
(Use several sheets if necessary)

ATTY. DOCKET NO.

245001-2000.2

SERIAL NO.

10/771/993

APPLICANT

Gary Katz and Greg Maynard

FILING DATE

February 3, 2004

GROUP

3622

U.S. PATENT DOCUMENTS

7XAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,297,032	3/22/94	Trojan et al.	364/408		
	3,581,072	5/25/71	Nymeyer	235/152		
	5,101,353	3/31/92	Lupien et al.	364/408		
	5,689,652	11/18/97	Lupien et al.	395/237		
	4,674,044	6/16/87	Kalmus et al.	364/408		
	3,573,747	4/6/71	Adams et al.	340/172.5		
	4,412,287	10/25/83	Braddock, III	364/408		
	5,305,200	4/19/94	Hartheimer et al.	364/408		
	4,903,201	2/20/90	Wagner	364/408		
	4,980,826	12/25/90	Wagner	364/408		
	5,970,479	10/19/99	Shepherd	705/37		
	5,978,779	11/2/99	Stein et al.	705/37		
	5,913,202	6/15/99	Motoyama	705/35		
	5,136,501	8/4/92	Silverman et al.	364/408		
	5,924,082	7/13/99	Silverman et al.	705/37		
	5,905,974	5/18/99	Fraser et al.	705/37		
	6,076,068	6/13/00	DeLapa et al.	705/14		
	6,035,288	3/2000	Solomon	705/37		
	5,715,402	2/1998	Popolo	705/37		
	5,664,115	9/1997	Fraser	705/37		
	5,787,402	6/1998	Potter et al.	705/37		
	6,014,643	1/2000	Minton	705/37		
	6,317,727	11/13/2001	May	705/37		
	6,112,189	8/29/2000	Rickard et al.	705/37		
	6,016,483	1/18/2000	Rickard et al.	705/37		
	5,946,666	8/31/1999	Nevo et al.	705/36		
	2001/0044767	3/14/99	Madoff	705/37		
	6,560,580	4/20/99	Fraser et al.	705/37		
	6,618,707	11/2/99	Gary	705/37		
	5,950,177	7/15/97	Lupien et al.	705/37		
	6,377,940	11/5/98	Tilfors et al.	705/37		

FOREIGN PATENT DOCUMENTS								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
		WO 97/42591	11/13/97	PCT				
		WO 98/38844	9/11/98	PCT				
		WO 93/15467	8/05/93	PCT				
		EP 0 952 536 A1	10/27/99	Europe				
		WO 00/28449	4/11/99	PCT				
		WO 96/34357	4/26/96	PCT				
		EP 0411 748	5/25/1990	Europe				
		WO 97/03408	7/5/96	PCT				
OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)								
			Actualidad Economica: Free For All In Electricity Sector? DialogArticle 18, September 30, 1996.					
			Souter, Gavin. Bermuda's Reinsurers Eager to Please, Dialog Article, Business Insurance, Vol.28. No. 44 Page 77, October 31, 1994.					
			Guardian, U.K.: Branch Closures Hit Poorer Customers, Dialong Article, Parge 18, February 11, 1997.					
			Management Science, Vol 43, No. 12, December 1997, Eric K. Clemons, "Information Technology and Screen-Based Securities Trading"					
			Wall Street & Technology, Vol. 15, No. 3, March 1997, Schmerken, Ivy, "The Pandora's Box over Autoquotes."					
			Chicago Board of Trade, "Project A Customer Information Statement					
			Alex Frino and Jayaram Muthuswamy, "Price and time-Priority Versus Pro-Rata Algorithms in Electronically Traded Futures. Markets: Simulation Based Performance Characteristics," October 3, 1998					
			Eric K. Clemons. Segmentation, Differentiation, and flexibility Pricing: Experience With Information Techonology and Segment-Tailored Strategies.					
			Cosgrove, Suzanne. Courting Retail, Institutional Customers, CBOE, AMEX get Creative. Knight-Ridder Financial News. Date: 1/1993					
			Michaels, George. Distributed Electronic Ordering System, financial software from Financial Technology Corp. Wall Street Computer Review, Vol. 8, No. 11, Pages 53-55. Date: 8/1991					
			Amihud et al. Liquidity, Asset Prices and Financial Policy. Financial Analysts Journal, Vol 47, No. 6, Pages 56-66. Date 3/2000					
			Journal of Management Information Systems, Vol 11, No. 2, Fall 1994, Eric K. Clemons and Michael C. Row, "Special Section: Strategic and Competitive Information Systems"					
			Self-Regulatory Organizations: Notice of Proposed Rule Change ... Introduction of the CBOE Hybrid System F.Reg. Vol. 68, No. 77 at 19865-74 - CBOE					
			SEC to Wall Street, Play Fair with the little guy, Wall Street & Technology, January 1, 1997					
			Schmerken, Ivy, The Bulls and Bears come out at night, Dealer's Digest, Vol 7, No. 12, 14, Sept. 1990					
EXAMINER				DATE CONSIDERED				
<p>* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>								